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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number	10/014,310
Filing Date	December 11, 2001
First Named Inventor	Ritesh P. Shah
Examiner Name	A. Oltmans
Art Unit	1742
Attorney Docket No.	32120-CON1

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

23-0925

Wells St. John P.S.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

SUBMITTED BY

Name (Print/Type)	James E. Lake	Registration No. (Attorney/Agent)	44,854	Telephone	509-624-4276
Signature		Date	8 July 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

EV372451904



TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/014,310
	Filing Date	December 11, 2001
	First Named Inventor	Shah, et al
	Art Unit	1742
	Examiner Name	A. Oltmans
Total Number of Pages in This Submission	Attorney Docket Number	32120-CON1

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC)
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	return postcards (2), PTO-1449, check for \$180.00, cited refs
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Customer No. 021567 The Commissioner is hereby authorized to charge any additional fees required under 37 C.F.R. Section 1.16 and Section 1.17 and credit any overpayments to account no. 23-0925.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual	James E. Lake Reg. No. 44,854, Wells St. John P.S
Signature	
Date	8 July 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 			
Typed or printed			
Signature		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

EV372451904



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. 10/014,310
Filing Date December 11, 2001
Inventor Ritesh P. Shah, et al.
Assignee Honeywell International Inc.
Group Art Unit 1742
Examiner A. Oltmans
Attorney's Docket No. 32120-CON1
Title: Methods of Forming Metal Articles

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

References –See Attached Form PTO-1449

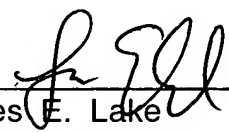
The Examiner's attention is directed to the references which are listed on the attached Form PTO-1449, copies of which are attached. No admission is made regarding whether all the submitted references are prior art.

Citation of the referenced art is respectfully requested.

A check in the amount of \$180.00 is enclosed to cover the fee specified under 37 C.F.R. § 1.17(p).

Respectfully submitted,

Dated: 8 Jul 2004

By: 
James E. Lake
Reg. No. 44,854

Form PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
32120-CON1

SERIAL NO.
10/014,310

APPLICANT
Ritesh P. Shah, et al.

FILING DATE
December 11, 2001

GROUP
1753

LIST OF ART CITED BY APPLICANT
(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA	6,113,761	09/00	Kardokus et al.			
	AB	6,139,701	10/00	Pavate et al.			
	AC	3,497,402	2/97	Douglas			
	AD	2001/0023726A	09/01	Koenigsmann et al.			
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AM	JP362089543		Japan				
	AN							
	AO							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)

AR	R.Z. Valiev et al., "Bulk Nanostructured materials from severe plastic deformation", Progress in Materials Science, Vol. 45, 2000, pp. 103-189.
AS	S. Ferrasse et al., "ECAE Targets with Sub-Micron Grain Structures Improve Sputtering Performance and Cost-of-Ownership", Semiconductor Manufacturing, Vol. 4, Issue 10, October 2003, pp. 76-92.
AT	Yoshinori Iwahashi et al., "Microstructural Characteristics of Ultrafine-Grained Aluminum Produced Using Equal-Channel Angular Pressing", Metallurgical and Materials Transactions, Vol. 29A, pp. 2245-2252, September 1998.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

LIST OF ART CITED BY APPLICANT
(Use several sheets if necessary)

ATTY. DOCKET NO.
32120-CON1

SERIAL NO.
10/014,310

APPLICANT
Ritesh P. Shah, et al.

FILING DATE
December 11, 2001

GROUP
1753

U.S. PATENT DOCUMENTS

*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
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AK						
AL						

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
AM							
AN							
AO							


OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)

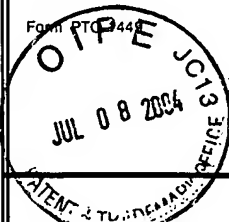
AR		M. Furukawa et al., "Microhardness Measurements and the Hall-Petch Relationship in an Al-Mg Alloy with Submicrometer Grain Size", Acta Mater. Vol. 44, No. 11, pp. 4619-4629, 1996.
AS		Segal et al., "Plastic Working of Metals by Simple Shear", Russian Metall. Vol. 1, pp. 99-105, 1991.
AT		Ruslan Z. Valiev et al., "SPD-Processed Ultra-Fine Grained Ti Materials for Medical Applications", Advanced Materials & Processes, December 2003, pp. 33-34.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO 1449 		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 32120-CON1		SERIAL NO. 10/014,310	
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Ritesh P. Shah, et al.			
FILING DATE December 11, 2001				GROUP 1753			
U.S. PATENT DOCUMENTS							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
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	AG						
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	AI						
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	AK						
	AL						
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes No
	AM	JP362089543		Japan			
	AN						
	AO						
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)							
	AR		F. J. Humphreys et al., "Developing stable fine-grain microstructures by large strain deformation", Phil. Trans. R. Soc. Lond. A, June 15, 1999, Vol. 357 #1756, pp. 1663-1681.				
	AS		S. Ferrasse et al., "Texture evolution during equal channel angular extrusion Part I. Effect of route, number of passes and initial texture", Materials Science and Engineering, Vol. 368, March 15, 2004, pp. 28-40.				
	AT		V.M. Segal, "Equal channel angular extrusion: from macromechanics to structure formation", Materials Science & Engineering A271, November 1, 1999, pp. 322-333.				
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

Form PTO 344 		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 32120-CON1		SERIAL NO. 10/014,310	
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Ritesh P. Shah, et al.			
FILING DATE December 11, 2001				GROUP 1753			
U.S. PATENT DOCUMENTS							
*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
AA							
AB							
AC							
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AJ							
AK							
AL							
FOREIGN PATENT DOCUMENTS							
Document Number	Date	Country	Class	Subclass	Translation		
					Yes	No	
AM							
AN							
AO							
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)							
AR		R.Z. Valiev et al., "Plastic deformation of alloys with submicron-grained structure", Materials Science and Engineering, A137 (1991) pp. 35-40.					
AS		AMS Specialty Handbook*, <u>Aluminum and Aluminum Alloys</u> , ASM International*, 1993, pp 290-292.					
AT		Metals Handbook 8 th Edition, Vol. 1, <u>Properties and Selection of Metals</u> , American Society for Metals, 1961, pp. 15 and 18.					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							